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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Edward R. HOWORKA et al.

Date: October 3, 2001

Serial No.: 09/707,824

Group Art Unit: --

Filed: November 7, 2000

Examiner: --

For: ANONYMOUS TRADING SYSTEM WITH IMPROVED QUOTE INPUT
CAPABILITIES

Assistant Commissioner for Patents
Washington, D.C. 20231

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Technology Center 2100
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SECOND PRELIMINARY AMENDMENT

Sir:

Preliminary to the examination of the above application, please further amend the above-entitled patent application as follows.

FEE CALCULATION

Any additional fee required has been calculated as follows:

If checked, "Small Entity" status is claimed.

NO. CLAIMS AFTER AMENDMENT	HIGHEST NO. PREVIOUSLY PAID FOR		EXTRA PRESENT		RATE	ADDIT. FEE
TOTAL	28	MINUS	24	* =	4 X (\$9 SE or \$18)	\$ 72.00
INDEP.	2	MINUS	3	** =	0 X (\$42 SE or \$84)	\$ 0.00
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM				X	(\$140 SE or \$280)	\$ 0.00

* not less than 20

** not less than 3

TOTAL \$ 72.00

If any additional payment is required, a check which includes the calculated fee of \$72.00 (OFGS Check No. 6680) is attached.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

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CONTINGENT EXTENSION REQUEST

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

AMENDMENTS

If checked, amendment(s) to the specification and/or claims are submitted herewith.

1. If checked, an abstract is submitted as the last page of Appendix A.

2. Claims:

Please amend claims 9-12, 14, 15, 17, 19, 20-23 and 25 and add new claims 33-36 pursuant to 37 C.F.R. § 1.121(c)(i) as set forth in the “clean” version attached hereto as Appendix A. Entry is respectfully requested. A version with markings to show the changes made pursuant to 37 C.F.R. § 1.121(c)(ii) is attached hereto as Appendix B.

 If checked, the optional complete set of “clean” claims pursuant to 37 C.F.R. § 1.121(c)(3) is attached hereto as Appendix C.